

JC10 R600 P01/PTO 27 FEB 2002

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

42697.127WOI

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/019458

INTERNATIONAL APPLICATION NO.  
PCT/US00/11415INTERNATIONAL FILING DATE  
28 April 2000PRIORITY DATE CLAIMED  
29 April 1999

## TITLE OF INVENTION

Liquid Precursors for Formation of Materials Containing Alkali Metals

## APPLICANT(S) FOR DO/EO/US

Gordon, Roy G. and Broomhall-Dillard, Randy N.R.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

Copy of Notification of Transmittal of International Preliminary Examination Report

US <b>10/019458</b>	INTERNATIONAL APPLICATION NO.	ATTORNEY'S DOCKET NUMBER
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21. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... <b>\$1000.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$860.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$710.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$690.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b>  <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>	<b>CALCULATIONS PTO USE ONLY</b>		
<b>Surcharge of \$130.00 for furnishing the oath or declaration later than</b> <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 <b>months from the earliest claimed priority date (37 CFR 1.492(e)).</b>	\$ 710		
<b>CLAIMS</b> <b>NUMBER FILED</b> <b>NUMBER EXTRA</b> <b>RATE</b> <b>\$</b>			
Total claims	- 20 = 7	x \$18.00	\$ 126
Independent claims	- 3 = 1	x \$80.00	\$ 84
MULTIPLE DEPENDENT CLAIM(S) (if applicable)      + \$270.00			\$ 280
<b>TOTAL OF ABOVE CALCULATIONS =</b>			<b>\$ 1330</b>
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.			\$
<b>SUBTOTAL =</b>			<b>\$</b>
<b>Processing fee of \$130.00 for furnishing the English translation later than</b> <input type="checkbox"/> 20 <input type="checkbox"/> 30 <b>months from the earliest claimed priority date (37 CFR 1.492(f)).</b>			\$
<b>TOTAL NATIONAL FEE =</b>			<b>\$</b>
<b>Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be</b> <b>accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +</b>			\$
<b>TOTAL FEES ENCLOSED =</b>			<b>\$ 665</b>
			Amount to be refunded: \$
			charged: \$

a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 08-0219 in the amount of \$ 665 to cover the above fees.  
 A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
 overpayment to Deposit Account No. 08-2019. A duplicate copy of this sheet is enclosed.

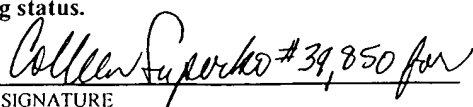
d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card  
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**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

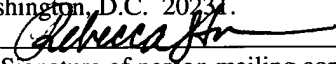
MaryRose Scozzafava  
 Hale and Dorr, LLP  
 60 State Street  
 Boston, MA 02109

  
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 MaryRose Scozzafava  
 NAME  
 36,268  
 REGISTRATION NUMBER



10/019458  
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PATENT  
ATTORNEY DOCKET NO. 42697.127US2

Certificate of Mailing: Date of Deposit: February 8, 2002	
I hereby certify under 37 C.F.R. § 1.8(a) that this correspondence is being deposited with the United States Postal Service as <b>first class mail</b> with sufficient postage on the date indicated above and is addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.	
Rebecca S. Tinio	
Printed name of person mailing correspondence	Signature of person mailing correspondence

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Gordon et al.	Art Unit	TBD
Serial No.:	TBD	Examiner:	TBD
Filed:	October 29, 2001	Customer No.:	23483
Title:	LIQUID PRECURSORS FOR FORMATION OF MATERIALS CONTAINING ALKALI METALS		

Assistant Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL OF DUPLICATE SUBMISSION

This submission is a copy of correspondence that was mailed to the U.S. Patent and Trademark office by the undersigned attorney on October 29, 2001 as indicated on the certificate of mailing.

Applicants enclose the following copies as a duplicate of their October 29, 2001 filing:

1. Transmittal Letter to the United States Designation/Elected Offices (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371
2. Transmittal of International Preliminary Examination Report
3. International Application No. US00/11415 Published Under the Patent Cooperation Treaty (PCT) as WO 00/67300
4. Return Postcard
5. Declaration of Mailing by "Express Mail"

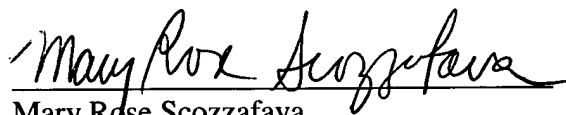
Applicants also attach copies of the Verification of Mailing by Express Mail and date stamped Express Mail label, which establish the date of mailing as October 29, 2001.

Applicants have received no indication that the original documents listed above were received by the U.S. Patent and Trademark Office. Pursuant to the USPTO Notice regarding the Processing of, and Requirements for, the Filing of Duplicate Applications and Papers in Patent Applications in view of USPS Mail Delays (a copy of which we also enclose), the PTO has waived the requirement that proof be furnished of the timely mailing of applications if these applications were mailed on or after October 13, 2001 and no later than December 1, 2001. This application falls within that date range and applicants request that the enclosed documents be accepted as proof of filing and that a serial number and filing date of October 29, 2001 be accorded to this application.

Applicants believe no fees are due; however, any fees which may be due should be charged to our Deposit Account no. 08-0219.

Respectfully submitted,

Date: February 8, 2002

  
Mary Rose Scozzafava  
Reg. No. 36,268

Hale and Dorr LLP  
60 State Street  
Boston, Massachusetts 02109  
Telephone: (617) 526-6000  
Facsimile: (617) 526-5000



10/019458  
JC13 Rec'd PCT/PTO 27 FEB 2002

Title: Liquid Precursors for Formation of Materials containing Alkali Metals

Intl Appl No. PCT/US00/11415 Applicant President and fellows of Harvard College

In the above matter, the following have been received by the US Patent and Trademark Office on the date stamped hereon.

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| _____ pp. of abstract   | <input type="checkbox"/> Response to Invitation to Pay Additional Fees      |
| _____ sheets of drawings; Figs. _____   | <input type="checkbox"/> Article 19 Amendment                               |
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| _____ pp. of claims (# of claims - _____)                                       | <input type="checkbox"/> Transmittal Letter                                 |
| _____ pp. of abstract   | <input type="checkbox"/> Fee Calculation Sheet                              |
| _____ sheets of drawings; Figs. _____   | <input type="checkbox"/> Check for \$ _____; check # _____                  |
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☒ Other: Transmitted Letter to U.S. Designated/Elected Office  
☐ Other: \_\_\_\_\_ 35 USC 371

Mailing Date: 10/29/01 Docket No. 42697.127 Atty/paralegal/secy: MS/ML



10/019458  
JG13 Rec'd PCT 27 FEB 2002

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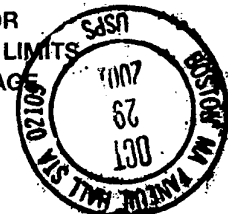
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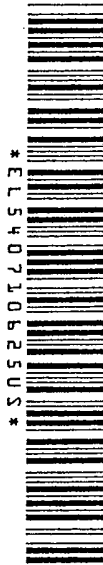


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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
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**Applicant:** Harvard University

**International Appln. No.:** PCT/US01/PCTUS00/11415

**International Filing Date:** April 28, 2000

**Title:** Liquid Precursors for Formation of Materials  
Containing Alkali metals

**Attorney Docket Number:** 42697.127

Box PCT  
Commissioner for Patents  
Washington, D.C. 20231

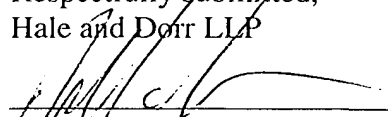
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On October 29, 2001, I deposited a package with the United States Postal Service bearing the label number EL540710625US using its Express Mail Post Office to Addressee service. Attached is a true copy of the Express Mail label showing the date of deposit. Included in the envelope is:

1. Transmittal Letter to the United States Designation/Elected Offices (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371
2. A copy of the notification of Transmittal of International Preliminary Examinations Report.
3. International Application Published Under the Patent Cooperation Treaty (PCT).
4. Post Card

In connection with the foregoing matter, please charge any fees which may be due, or credit any overpayment to PTO Deposit Account number 08-0219.

Respectfully submitted,  
Hale and Dorr LLP

  
Michael Leccese  
Patent Paralegal

60 State Street  
Boston, MA 02109  
Tel: (617) 526-6192